

<b>Interview Summary</b>	Application No.	Applicant(s)	
	09/369,340	SLANEY ET AL.	
	Examiner	Art Unit	
	Justin Michalski	2644	

All participants (applicant, applicant's representative, PTO personnel):

(1) Justin Michalski. (3) William J. James.  
 (2) Laura Ing (Reg. 56,859). (4) \_\_\_\_\_.

Date of Interview: 07 September 2005.

Type: a) ☒ Telephonic b) ☐ Video Conference  
 c) ☐ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No.  
 If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: 1, 19 and 32.

Identification of prior art discussed: Lambrecht, Gardner.

Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Applicant proposed amendments (see attached) to claims 1, 19, and 32. The Office indicated that proposed amendment of claim 1 regarding physical characteristics is still readable on Lambrecht. The Office indicated proposed amendment to claim 19 would overcome Lambrecht and suggested amending claims 1 and 32 to include similar language.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

\_\_\_\_\_  
 Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

#### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

##### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

## **FACSIMILE COVER SHEET**

**VAN PELT & YI LLP**  
10050 N. Foothill Blvd.  
Suite 200  
Cupertino, CA 95014  
(408) 973-2585

Date: September 6, 2005

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### **CONFIDENTIALITY NOTE**

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**From: Laura Ing**  
**Re: 09/369,340**  
**No. Pages: 4 pages total**

**To: Examiner Justin Michalski**  
**Company: United States Patent & Trademark Office**  
**FAX #: 571-273-7524**

### **MESSAGE:**

Please review the attached Applicant Initiated Interview Request Form.

Regards,  
Laura Ing

PTOL-413A (09-04)  
Approved for use through 07/31/2008. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**Applicant Initiated Interview Request Form** ATTORNEY DOCKET NO.  
INT1P929

Application No.: 09/369,340 First Named Applicant: Malcolm Slaney  
Examiner: Justin Michalski Art Unit: 2644 Status of Application: Pending

**Tentative Participants:**  
(1) Laura Ing (2) William J. James  
(3) Justin Michalski (4) \_\_\_\_\_

Proposed Date of Interview: 09/07/2005 Proposed Time: 1:30 ☐ (AM) ☒ (PM)

**Type of Interview Requested:**  
(1) ☒ Telephonic (2) ☐ Personal (3) ☐ Video Conference

Exhibit To Be Shown or Demonstrated: ☐ YES ☒ NO  
If yes, provide brief description: \_\_\_\_\_

**Issues To Be Discussed**

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) Rej	1,19 & 32	_____	[ ]	[ ]	[ ]
(2) _____	_____	_____	[ ]	[ ]	[ ]
(3) _____	_____	_____	[ ]	[ ]	[ ]
(4) _____	_____	_____	[ ]	[ ]	[ ]

[ ] Continuation Sheet Attached

**Brief Description of Arguments to be Presented:**

• Please see attached sheet for proposed claim amendments.

An interview was conducted on the above-identified application on \_\_\_\_\_.  
**NOTE:** This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible.

Laura Ing  
Applicant/Applicant's Representative Signature

Laura Ing

\_\_\_\_\_  
Examiner/SPE Signature

Typed/Printed Name of Applicant or Representative

56,859

Registration Number, if applicable

This collection of information is required by 37 CFR 1.133. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

1. A method for estimating a head-related transfer function (HRTF) for an individual, comprising the steps of:

training an estimation model, using (1) information associated with head-related transfer functions for each of a plurality of individuals and (2) information associated with physical characteristics for each of said plurality of individuals, wherein said estimation model which maps observable physical characteristics of a plurality of individuals to audio-related HRTF data for the individuals, respectively;

obtaining observable physical characteristics for a subject whose HRTF is unknown; and  
processing said obtained characteristics in accordance with said model to produce an estimate of an HRTF for said subject whose HRTF is unknown.

19. A method for estimating a head-related transfer function for a given person, comprising the steps of:

obtaining a head-related transfer function for each of a plurality of individuals;  
providing at least one image of each of said individuals which depict physical characteristics of each individual;

computing a model, using (1) information associated with said obtained head-related transfer functions for each of a plurality of individuals and (2) information associated with said depicted physical characteristics of each individual, wherein said model which defines a coupling between the physical characteristics of a person subject and that person's said subject's head-related transfer function;

providing an image of a person whose head-related transfer function is unknown to obtain data about physical characteristics of [[that]] said person whose head-related transfer function is unknown;  
and

applying said data to said coupling model to estimate a head-related transfer function for [[that]] said person whose head-related transfer function is unknown.

32. A system for generating spatial sound, comprising:

a sound source which produces plural sound signals that are respectively associated with different locations relative to a listener;

a head-related transfer function (HRTF) estimator which processes at least one image of the listener in accordance with a model that maps observable physical characteristics of a plurality of individuals to audio-related HRTF data for the individuals, to produce an estimate of an HRTF for the

listener, wherein said estimator is obtained using (1) information associated with said obtained head-related transfer functions for each of a plurality of individuals and (2) information associated with said depicted physical characteristics of each individual;

an HRTF filter which modifies said sound signals in accordance with the estimated HRTF for the listener; and

an audio output device for generating sounds represented by the modified sound signals.